

MONTH END ACTIVITY REPORT

Bureau of Securities July 2010

| Securities Registrations | | | |
|----------------------------------|-------|------------|-------|
| Filing/Security Type | Paper | Electronic | Total |
| Additional | 83 | 331 | 414 |
| Oversales | 1 | 0 | 1 |
| Renewal Filings | 448 | 1,122 | 1570 |
| New Notice Filings | 152 | 83 | 235 |
| Common Stock | 0 | 0 | 0 |
| Limited Partnerships | 0 | 0 | 0 |
| Preferred Stock | 0 | 0 | 0 |
| REIT | 2 | 0 | 2 |
| Debt | 0 | 0 | 0 |
| Qualification | 0 | 0 | 0 |
| Other | 1 | 0 | 1 |
| Denials | 0 | 0 | 0 |
| Sales of Unregistered Securities | 0 | 0 | 0 |
| Withdrawals | 13 | 0 | 13 |

| Broker-Dealers and Broker-Dealer Agents | | | |
|---|-------|-----------|-------|
| Broker-Dealers | | | |
| Activity | FINRA | Non-FINRA | Total |
| New | 8 | 0 | 8 |
| Applications Withdrawn/Abandoned | 0 | 0 | 0 |
| Applications Denied | 0 | 0 | 0 |
| Terminations | 3 | 0 | 3 |
| Gain/Loss Broker-Dealers | 5 | 0 | 5 |
| Total Broker-Dealers Registered as of July 31, 2010 | 1402 | 28 | 1430 |
| Broker-Dealer Agents | | | |
| Activity | FINRA | Non-FINRA | Total |
| New (Includes Automatic, Manual, Temp. Queues) | 1937 | 0 | 1937 |
| Denied | 0 | 0 | 0 |
| Terminations | 1157 | 0 | 1157 |
| Gain/Loss Agents | 780 | 0 | 780 |
| Total BD Agents Registered as of July 31, 2010 | 75697 | 53 | 75750 |

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| Investment Advisers and Representatives | | | |
|--|-------|---------|-------|
| Investment Advisers | | | |
| Activity | State | Federal | Total |
| New | 4 | 12 | 16 |
| Applications Withdrawn | 0 | 0 | 0 |
| Registrations Terminated/Withdrawn | 2 | 2 | 4 |
| Denied | 0 | 0 | 0 |
| Gain/Loss effective registrations | 2 | 10 | 12 |
| Total IA's Registered as of July 31, 2010 | 73 | 1054 | 1127 |
| Investment Adviser Representatives | | | |
| Activity | State | Federal | Total |
| New | 4 | 56 | 60 |
| Denied | 0 | 0 | 0 |
| Terminated | 2 | 34 | 36 |
| Gain/Loss effective registrations | 2 | 22 | 24 |
| Total IAR's Registered as July 31, 2010 | 133 | 3160 | 3293 |

| Exemptions | | | |
|---|--------|--|--|
| Exemption Type | Number | | |
| 8-1108.02(2) | 40 | | |
| 8-1108.02(3) | 0 | | |
| 8-1111(16) | 0 | | |
| 8-1110(5)(b) | 0 | | |
| 8-1111(20) | 0 | | |
| 8-1110(8) | 0 | | |
| 8-1111(9) | 18 | | |
| 8-1111(11)(a) | 0 | | |
| 8-1111(11)(b) | 0 | | |
| 8-1111(14) | 0 | | |
| 8-1111(15) | 0 | | |
| 8-1111(17) | 0 | | |
| Total Exemptions as of July 31, 2010 | 58 | | |